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## TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

In re application of:	MICHAEL NEAL ET AL.
Serial No.:	09741958
Filed:	12/20/00
Atty Docket:	DEM1P001
Title:	PRICE OPTIMIZATION SYSTEM

Assistant Commissioner for Patents  
Washington, D.C. 20231

Attached hereto is Form PTO-1449A/PTO listing documents believed relevant to the subject application. It is respectfully requested that the Examiner review the information disclosed herein in detail, independently evaluate each item carefully in the consideration of the pending claims and return an initialed copy of each form to the undersigned.

This disclosure statement should not be construed as a representation that a search has been made, that no other material information as defined in 37 C.F.R. § 1.56(a) exists, or as an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b) or is available as a reference under 35 U.S.C. § 102 *et seq.* Applicant reserves the right to swear behind or otherwise disprove the alleged "prior" nature of any art cited should the facts support and the situation warrant such an action.

It is believed that this disclosure complies with the requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98, and the Manual of Patent Examining Procedures § 609. If for some reason the examiner considers otherwise, it is respectfully requested that the undersigned be called so that any deficiencies can be remedied.

A copy of each document is enclosed. Some of the documents may have markings thereon. No significance is intended to be attached to the markings.

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Date of Deposit: May 29, 2001

I hereby certify that this paper is being deposited with the U.S. Postal Service Express Mail Post Office to Addressee Service under 37 C.F.R. §1.10 on the date shown above and is addressed to Box \_\_\_\_\_, Assistant Commissioner for Patents, Washington, D.C. 20231.

Respectfully submitted,

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PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

**U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE**

<p style="text-align: center;"><b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b></p> <p>(use as many sheets as necessary)</p>				<i>Complete if Known</i>	
				Application Number	09741958
				Filing Date	12/20/001
				First Named Inventor	MICHAEL NEAL
				Group Art Unit	
				Examiner Name	
Sheet	1	of	2	Attorney Docket Number	DEM1P001

## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

For Japanese patent documents, the indication of the year of filing is required. Appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is

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Substitute for Form 1449A/PTO

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

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Sheet

2

of

2

Complete if Known

Application Number	09741958
Filing Date	12/20/001
First Named Inventor	MICHAEL NEAL
Group Art Unit	
Examiner Name	

Attorney Docket Number DEM1P001

## OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	BA	ROSSI, DELURGIO, & KANTOR; "MAKING SENSE OF SCANNER DATA;" HARVARD BUSINESS REVIEW, REPRINT F00205	
	BB	BUCKLIN & GUPTA, "BRAND CHOICE, PURCHASE INCIDENCE, AND SEGMENTATION: AN INTEGRATED MODELING APPROACH," JOURNAL OF MARKETING RESEARCH, MAY 1992, PP. 201-215, VOL. XXIX	
	BC	SMITH, MATHUR, & KOHN; "BAYESIAN SEMIPARAMETRIC REGRESSION: AN EXPOSITION AND APPLICATION TO PRINT ADVERTISING;" JANUARY 3, 1997; AUSTRALIAN GRADUATE SCHOOL OF MANAGEMENT, UNIVERSITY OF NEW SOUTH WALES, SYDNEY 2052, AUSTRALIA	
	BD	BLATTBERG AND DEIGHTON, "MANAGE MARKETING BY THE CUSTOMER EQUITY;" HARVARD BUSINESS REVIEW, JULY-AUGUST 1996, PP. 136-144	
	BE	CHRISTEN, GUPTA, PORTER, STAELIN, & WITTINK; "USING MARKET-LEVEL DATA TO UNDERSTAND THE EFFECTIVENESS OF PROMOTIONAL ACTIVITIES;" DECEMBER 22, 1995	
	BF	LINK, "ARE AGGREGATE SCANNER DATA MODELS BIASED?," JOURNAL OF ADVERTISING RESEARCH, SEPTEMBER/OCTOBER 1995, PP. RC8-RC12, ARF	
	BG	RUSSELL & KAMAKURA, "UNDERSTANDING BRAND COMPETITION USING MICRO AND MACRO SCANNER DATA," JOURNAL OF MARKETING RESEARCH, VOL. XXXI (MAY 1994), PP. 289-303	
	BH	JONES, "THE DOUBLE JEOPARDY OF SALES PROMOTIONS," HARVARD BUSINESS REVIEW, SEPTEMBER-OCTOBER 1999, PP. 145-152	
	BI	BUZZELL, QUELCH, & SALMON; "THE COSTLY BARGAIN OF TRADE PROMOTION;" HARVARD BUSINESS REVIEW, REPRINT 90201, MARCH-APRIL 1990, PP. 1-9	
	BJ	CURRY, DIVAKAR, MATHUR, & WHITEMAN; "BVAR AS A CATEGORY MANAGEMENT TOOL: AN ILLUSTRATION AND COMPARISON WITH ALTERNATIVE TECHNIQUES," JOURNAL OF FORECASTING, VOL. 14, ISS NO. 3 (1995), PP. 181-199	

Examiner Signature

Date Considered

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